

#3

Please type a plus sign (+) inside this box → ☒Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/750,217
	Filing Date	December 29, 2000
	First Named Inventor	Nicole KLAPPHOLZ
	Group Art Unit	2181
	Examiner Name	
Total Number of Pages in This Submission	Attorney Docket Number	9-13528-122US

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Covering letter.
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	Copy of Notice to File Missing Parts.
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	Filing Receipt.
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Max R. Wood, Reg. No. 40,388
Signature	
Date	March 21, 2001

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <input type="text"/>	
Typed or printed name	<input type="text"/>
Signature	<input type="text"/>
Date	<input type="text"/>

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



#3

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 170

**Complete if Known**

Application Number	09/750,217
Filing Date	December 29, 2000
First Named Inventor	Nicole KLAPPHOLZ
Examiner Name	
Group Art Unit	2181
Attorney Docket No.	9-13528-122US

**METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number  
19-5113Deposit Account Name  
Swabey Ogilvy Renault☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ 0.00

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent	-20** =	X	= 0
Multiple Dependent	-3** =	X	= 0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 170

**SUBMITTED BY**

Name (Print/Type)	Max R. Wood	Registration No. (Attorney/Agent)	40,388	Telephone	613-230-6072
Signature		Date	March 21, 2001		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**SWABEY  
OGILVY RENAULT**

S.E.N.C.

PATENT AND TRADE MARK AGENTS

Ottawa,  
March 21, 2001



Assistant Commissioner for Patents  
Washington, D.C. 20231  
U. S. A.

Sir:

**Re: United States Patent Application**  
**Title: METHODS AND SYSTEM FOR TIME  
MANAGEMENT IN A SHARED MEMORY  
PARALLEL PROCESSOR COMPUTING  
ENVIRONMENT**  
**Serial No.: 09/750,217**  
**Filing Date: December 29, 2000**  
**Inventor: KLAPPHOLZ, Nicole**  
**Assignee: Nortel Networks Limited**  
**Our File: 9-13528-122US MRW:lf**

In response to the Notice to File Missing Parts under 37 CFR 1.53(b), enclosed are the following:

1. Transmittal Form (PTO/SB/21).
2. Fee Transmittal for FY 2001 (PTO/SB/17).
3. Copy of Notice to File Missing Parts under 37 CFR 2.53 (b).
4. Combined Declaration/Power of Attorney.
5. Assignment in favour of Nortel Networks Limited, with Recordation Form PTO-1619A (inventor Nicole KLAPPHOLZ).
6. Our cheque No. 008692 in the amount of \$170.00 in payment of the Declaration surcharge (\$130.00) and assignment recordal fee (\$40.00).
7. Original filing receipt returned for correction (together with a copy of page 1 of the filing receipt with the corrections noted thereon), as follows:

(a) Applicant's address.

8. Information Disclosure Statement.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to our Account No. 19-5113.

ROBERT MITCHELL  
GUY J. HOULE  
PAUL MARCOUX  
KEVIN P. MURPHY  
JOHN D. MILLER  
ROBERT CARRIER  
JOAN M. VAN ZANT  
MICHEL SOFIA  
FRANCE CÔTÉ  
CÉLINE TREMBLAY  
MAX R. WOOD  
JAMES ANGLEHART  
PAUL J. FIELD  
PATRICIA SEGUIN  
WAYNE YAN  
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GEORGE R. LOCKE  
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PETER WILCOX  
BRIAN DALEY  
LEIGH D. CRESTOHL  
JOANNE CHRIQUI  
BENOÎT CLERMONT  
LEANNE SOUQUET  
ROWENA BORENSTEIN

*Administrator*  
JAMES A. FRASER

ALAN SWABEY [1909-1990]  
MELVIN SHER [1935-1994]

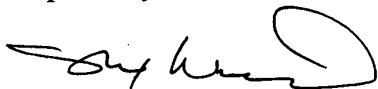
A FIRM IN WHICH SWABEY, MITCHELL,  
HOULE, MARCOUX & SHER AND  
THE LAW FIRM OGILVY RENAULT  
ARE PARTNERS

Assistant Commissioner of Patents  
09/750,217

March 21, 2001

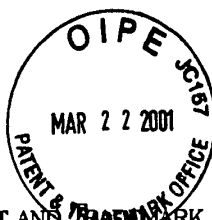
Please note that the address of the agents for the applicant in this matter should be the Montreal address identified in the enclosed Declaration/Power of Attorney. Correspondence may be directed to **Max R. Wood** at the Montreal address of Swabey Ogilvy Renault.

Respectfully submitted,



Max R. Wood  
Reg. No. 40,388  
Agent of Record

MRW:lf  
Encls.



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/750,217	12/29/2000	Nicole Klappholz	9-13528-122US

CONFIRMATION NO. 6983

020988  
SWABEY OGILVY RENAULT  
SUITE 1600  
1981 MCGILL COLLEGE AVENUE  
MONTREAL, QC H3A2Y3  
CANADA

## FORMALITIES LETTER



\*OC000000005753458\*

Date Mailed: 02/12/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

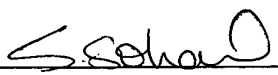
*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

---

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/23/2001 EEKUBAY1 00000008 09750217

01 FC:105

130.00 OP



## UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/750,217	12/29/2000	2181	998	9-13528-122US	6	36	3

CONFIRMATION NO. 6983

020988  
SWABEY OGILVY RENAULT  
SUITE 1600  
1981 MCGILL COLLEGE AVENUE  
MONTREAL, QC H3A2Y3  
CANADA

## FILING RECEIPT



\*OC000000005753457\*

Date Mailed: 02/12/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Nicole Klappholz, Residence Not Provided;

## Assignment For Published Patent Application

Nortel Networks Limited,;

## Continuing Data as Claimed by Applicant

## Foreign Applications

If Required, Foreign Filing License Granted 02/09/2001

Projected Publication Date: Request for Non-Publication Acknowledged

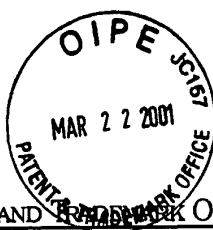
Non-Publication Request: Yes

Early Publication Request: No

Title

SWABEY OGILVY RENAULT  
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MAR - 7 2001





UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/750,217	12/29/2000	2181	998	9-13528-122US	6	36	3

CONFIRMATION NO. 6983

020988  
SWABEY OGILVY RENAULT  
SUITE 1600  
1981 MCGILL COLLEGE AVENUE  
MONTREAL, QC H3A2Y3  
CANADA

## FILING RECEIPT



\*OC000000005753457\*

Date Mailed: 02/12/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Nicole Klappholz, Residence Not Provided;

## Assignment For Published Patent Application

Nortel Networks Limited,;

## Continuing Data as Claimed by Applicant

## Foreign Applications

If Required, Foreign Filing License Granted 02/09/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

Title

SWABEY OGILVY RENAULT

RECEIVED

MAR - 7 2001

M. 3 9 10 11 12 1 2 3 4 5 P.M.  
- . - . - . - . - . - . - .

Methods and system for time management in a shared memory parallel processor computing environment

**Preliminary Class**

710

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**Data entry by : SOHAIL, SUMAIRA**

**Team : OIPE**

**Date: 02/12/2001**





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

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**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

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Customer Service Center  
Washington, DC 20231